

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: YU et al.

Title: TERMINALS HAVING SUB-BAND SUBSTITUTE  
SIGNAL CONTROL IN OPTICAL COMMUNICATION  
SYSTEMS

Appl. No.: Unknown

Filing Date: August 28, 2001

Examiner: Unknown

Art Unit: Unknown

**UTILITY PATENT APPLICATION**  
**TRANSMITTAL**

Commissioner for Patents  
Box PATENT APPLICATION  
Washington, D.C. 20231

Sir:

Transmitted herewith for filing under 37 C.F.R. § 1.53(b) is the nonprovisional  
utility patent application of:

Zhengchen YU  
Bill SHIEH  
Tom CLARK  
Vladimir PETRICEVIC

☒ Applicant claims small entity status under 37 CFR 1.27.

Enclosed are:

- ☒ Specification, Claim(s), and Abstract (21 pages).
- ☒ Formal drawings (11 sheets, Figures 1-10(b)).
- ☒ Unexecuted Declaration and Power of Attorney (4 pages).
- ☐ Assignment of the invention to Sowilo Networks, Inc..
- ☐ Assignment Recordation Cover Sheet.
- ☐ Request for application not to be published with certification under 35  
USC 122(b)(2)(B)(i).

- ☐ Information Disclosure Statement.
- ☐ Form PTO-1449 with copies of \_\_\_ listed reference(s).
- ☐ Application Data Sheet (37 CFR 1.76).

The filing fee is calculated below:

	Claims as Filed	Included in Basic Fee	Extra Claims	Rate	Fee Totals
Basic Fee				\$710.00	\$710.00
Total Claims:	40	- 20	= 20	x \$18.00	= \$360.00
Independents:	3	- 3	= 0	x \$80.00	= \$0.00
If any Multiple Dependent Claim(s) present:				+ \$270.00	= \$0.00
Surcharge under 37 CFR 1.16(e) for late filing of Executed Declaration and late payment of filing fee				+ \$130.00	= \$130.00
				SUBTOTAL:	= \$1200.00
<input checked="" type="checkbox"/> Small Entity Fees Apply (subtract 1/2 of above):					= \$600.00
				TOTAL FILING FEE:	= \$600.00

- ☐ A check in the amount of \$0.00 to cover the filing fee is enclosed.
- ☒ The required filing fees are not enclosed but will be submitted in response to the Notice to File Missing Parts of Application.
- ☐ The Commissioner is hereby authorized to charge any additional fees which may be required regarding this application under 37 C.F.R. §§ 1.16-1.17, or credit any overpayment, to Deposit Account No. 19-0741. Should no proper payment be enclosed herewith, as by a check being in the wrong amount, unsigned, post-dated, otherwise improper or informal or even entirely missing, the Commissioner is authorized to charge the unpaid amount to Deposit Account No. 19-0741.

Please direct all correspondence to the undersigned attorney or agent at the address indicated below.

Respectfully submitted,

Date

8/28/01

By

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